

Please type a plus sign (+) inside this box → [+]

PTO/SB/08A (08-00)

Approved for use through 10/31/2002. OMB 0651-0031

U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number

Substitute for form 1449A/PTO

**INFORMATION DISCLOSURE
STATEMENT BY APPLICANT**

(use as many sheets as necessary)

Sheet

1

of

4

Complete if Known

Application Number

February 7, 2001

Filing Date

Mark J. STEFIK et al.

First Named Inventor

3692

Group Art Unit

F Poinvil

Examiner Name

111325-49

U.S. PTO

09/03

09/17/01



02/07/01

U.S. PATENT DOCUMENTS

Examiner Initials ¹	Cite No. ¹	U.S. Patent Document		Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number	Kind Code ² (if known)			
FP		4,529,870		Chaum	07-16-1985	
		4,658,093		Hellman	04-14-1987	
		4,924,378		Hershey et al.	05-08-1990	
		4,932,054		Chou et al.	06-05-1990	
		4,937,863		Robert et al.	06-26-1990	
		4,953,209		Ryder, Sr. et al.	08-28-1990	
		4,961,142		Elliott et al.	10-02-1990	
		4,977,594		Shear	12-11-1990	
		5,010,571		Katznelson	04-23-1991	
		5,014,234		Edwards, Jr.	05-07-1991	
		5,023,907		Johnson et al.	06-11-1991	
		5,047,928		Wiedemer	09-10-1991	
		5,050,213		Shear	09-17-1991	
		5,058,164		Elmer et al.	10-15-1991	
		5,103,476		Waite et al.	04-07-1992	
		5,113,519		Johnson et al.	05-12-1992	
		5,138,712		Corbin	08-11-1992	
		5,146,499		Geffrotin	09-08-1992	
		5,159,182		Eisele	10-27-1992	
		5,191,193		Le Roux	03-02-1993	
		5,204,897		Wyman	04-20-1993	
		5,247,575		Sprague et al.	09-21-1993	
		5,291,596		Mita	03-01-1994	
		5,339,091		Yamazaki et al.	08-16-1994	
FP		5,455,953		Russell	10-03-1995	

FOREIGN PATENT DOCUMENTS

Examiner Initials ¹	Cite No. ¹	Foreign Patent Document		Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T ⁴
		Office ²	Number ³ (if known)				
FP			0 332 707 A1	EP	09-20-1989		
FP			WO/92 20022	PCT	11-12-1992		
FP			93/01550	PCT	21-01-1993		

OTHER PRIOR ART - NON PATENT LITERATURE DOCUMENTS

Examiner Initials ¹	Cite No. ¹	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.
FP		Weber, R., "Metering Technologies For Digital Intellectual Property," <i>A Report to the International Federation of Reproduction Rights Organizations</i> , October 1994, pp. 1-29.

**INFORMATION DISCLOSURE
STATEMENT BY APPLICANT**
(use as many sheets as necessary)

Sheet

2

of

4

Complete if Known

Application Number

February 7, 2001

Filing Date

Mark J. STEFIK et al.

First Named Inventor

3692

Group Art Unit

F Poinvil

Examiner Name

111325-49

Attorney Docket Number

OTHER PRIOR ART - NON PATENT LITERATURE DOCUMENTS

Examiner Initials*	Cite No. ¹	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T ²
FP		Clark, P.C. and Hoffman, L.J., "Bits: A Smartcard Protected Operating System," <i>Communications of the ACM</i> , November 1994, Vol. 37, No. 11, pp. 66-70, and 94.	
DP		Ross, P.E., "Data guard", <i>Forbes</i> , June 6, 1994, pp 101.	
PP		Saigh, W.K., "Knowledge is Sacred," <i>Video Pocket/Page Reader Systems, Ltd.</i> , 1992.	
PP		Kahn, R.E., "Deposit, Registration And Recordation In An Electronic Copyright Management System," <i>Corporation for National Research Initiatives</i> , Virginia, August 1992, pp. 1-19.	
PP		Hilts, P., Mutter, J., and Taylor, S., "BOOKS While U Wait," <i>Publishers Weekly</i> , January 3, 1994, pp. 48-50.	
PP		Strattner, A., ' "Cash register on a chip' may revolutionize software pricing and distribution; Wave Systems Corp.,' <i>Computer Shopper</i> . Copyright, April 1994, Vol.14; No.4; pg.62; ISSN 0886-0556.	
PP		O'Conner, M.A., "New distribution option for electric publishers; iOpener data encryption and metering system for CD-ROM use; Column," <i>CD-ROM Professional</i> , Copyright, March 1994, Vol. 7; No. 2; pg. 134; ISSN: 1049-0833.	
PP		Willett, S., ' "Metered PCs: Is your system watching you?"; Wave Systems beta tests new technology,' <i>InfoWorld</i> , Copyright, May 2, 1994, pg. 84.	
PP		Linn, R.J., "Copyright and Information Services in the Context of the National Research and Education Network',," <i>IMA Intellectual Property Project Proceedings</i> , January 1994, Vol. 1, Issue 1, pp. 9-20.	
PP		Perritt, Jr., H.H., "Permissions Headers and Contract Law," <i>IMA Intellectual Property Project Proceedings</i> , January 1994, Vol. 1, Issue 1, pp. 27-48.	
PP		Upthegrove, L., and Roberts, R., "Intellectual Property Header Descriptors: A Dynamic Approach," <i>IMA Intellectual Property Project Proceedings</i> , January 1994, Vol. 1, Issue 1, pp. 63-66.	
PP		Sirbu, M.A., "Internet Billing Service Design and Prototype Implementation ,," <i>IMA Intellectual Property Project Proceedings</i> , January 1994, Vol.1, Issue 1, pp. 67-80.	

Substitute for form 1449A/PTO

**INFORMATION DISCLOSURE
STATEMENT BY APPLICANT**
(use as many sheets as necessary)

				<i>Complete if Known</i>	
				Application Number	
				Filing Date	February 7, 2001
				First Named Inventor	Mark J. STEFIK et al.
				Group Art Unit	3692
				Examiner Name	F. Poirier
3	Attorney Docket Number	of	4	Attorney Docket Number	111325-49

OTHER PRIOR ART - NON PATENT LITERATURE DOCUMENTS

Examiner Initials ¹	Cite No. ¹	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T ²
FP		Simmel, S.S., and Godard, I., "Metering and Licensing of Resources: Kala's General Purpose Approach," <i>IMA Intellectual Property Project Proceedings</i> , January 1994, Vol. 1, Issue 1, pp. 81-110.	
FP		Kahn, R.E., "Deposit, Registration and Recordation in an Electronic Copyright Management System," <i>IMA Intellectual Property Project Proceedings</i> , January 1994, Vol. 1, Issue 1, pp. 111-120.	
FP		Tygar, J.D., and Bennet, Y., "Dyad: A System for Using Physically Secure Coprocessors," <i>IMA Intellectual Property Project Proceedings</i> , January 1994, Vol. 1, Issue 1, pp. 121-152.	
FP		Griswold, G.N., "A Method for Protecting Copyright on Networks," <i>IMA Intellectual Property Project Proceedings</i> , January 1994, Vol. 1, Issue 1, pp. 169-178.	
FP		Nelson, T.H., "A Publishing and Royalty Model for Networked Documents," <i>IMA Intellectual Property Project Proceedings</i> , January 1994, Vol. 1, Issue 1, pp. 257-259.	
FP		European Search Report for Corresponding European Application 95308422.5	
FP		Flasche, U. et al., DECENTRALIZED PROCESSING OF DOCUMENTS, <i>Comput. & Graphics</i> , Vol. 10, No. 2, 1986, pp. 119-131.	
FP		Mori, R. et al., SUPERDISTRIBUTION: THE CONCEPT AND THE ARCHITECTURE, <i>The Transactions of the IEICE</i> , Vol. E 73, No. 7, 1990, Tokyo, JP, pp. 1133-1146.	
FP		Press Release From Electronic Publishing Resources, Inc. (EPR) entitled 'National Semiconductor and EPR Partner for Information Metering/Data Security Cards', dated March 4, 1994.	
FP		Weber, R., "Digital Rights Management Technology", October 1995.	

Examiner Signature	F. Poirier	Date Considered	1/18/08
--------------------	------------	-----------------	---------

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

¹ Unique citation designation number. ² See attached Kinds of U.S. Patent Documents. ³ Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). ⁴ For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. ⁵ Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. ⁶ Applicant is to place a check mark here if English language Translation is attached.